# HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

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# and CORRESPONDENCE ADDRESS INDICATION FORM

| Application Number     | 10/527,950         |
|------------------------|--------------------|
| 371(c) Date            | September 30, 2005 |
| First Named Inventor   | Timothy P. Tully   |
| Confirmation Number    | 1059               |
| Group Art Unit         | Not yet assigned   |
| Examiner Name          | Not yet assigned   |
| Attorney Docket Number | 2826.1000-005      |

Title

SCREENING METHODS FOR COGNITIVE ENHANCERS

| I here                  | eby appo           | nt   |   |   | •                                    |  |
|-------------------------|--------------------|--|---|---|--------------------------------------|--|
| [X]                     | Practition         | oners associated with                              | Customer No. 0210                               | 05  |                                      |  |
| []                      | Practition         | oner(s) named below:                               |   |   |                                      |  |
|                         |                    |  |   |   | • .                                  |  |
|                         |                    |  |   |   |                                      |  |
| as m<br>applic<br>there | cations th         | rneys/agents to prose<br>ereof, and to transact    | cute the application i<br>all business in the U | dentified above, inclu<br>nited States Patent a | uding any contini<br>and Trademark ( | uation or divisional<br>Office connected |
| Pleas                   | se recogr          | ize or change the corr                             | espondence addres                               | s for the above-identi                          | fied application                     | to:                                      |
| [X]                     | Custom             | er Number 021005                                   |   | •   |                                      |  |
|                         | Hamilto            | n, Brook, Smith & Rey                              | nolds, P.C.                                     |   |                                      |  |
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|                         | P.O. Bo            | x 9133   |   |   |                                      |  |
|                         | Concor             | d, Massachusetts 017                               | 42-9133   |   | •                                    |  |
| []                      | Other              |  |   |   |                                      |  |
|                         | _                  |  |   |   |                                      |  |
| <br>                    |                    |  |   |   |                                      |  |
| <br>Pleas               | se direct          | all telephone calls and                            | facsimiles to:                                  |   |                                      |  |
| Nam                     | e Anne             | J. Collins, Esq.                                   | Tel. No   | 978-341-0036                                    | Fax No                               | 978-341-0136                             |
| <br>                    |                    |  | ·   | •   | <u></u>                              |  |
| I am                    | •                  |  |   | • •   |                                      |  |
| [ ]                     | Applica            | nt/Inventor.                                       |   |   |                                      |  |
| [X]                     | Authori<br>3.71. A | zed representative of t<br>Statement under 37 (    | he Assignee, Helico<br>C.F.R. §3.73(b) is en    | n Therapeutics, Inc., closed.                   | of the entire inte                   | erest. See 37 C.F.R. §                   |
| []                      | Authori<br>37 C.F. | zed representative of t<br>R. § 3.73(b) is enclose | he Assignee, [ ], to                            | ogether with [ ], of                            | the entire interes                   | st. A Statement under                    |
| •                       |                    | SIC  | NATURE of Applicar                              | nt or Assignee of Reco                          | ord                                  |  |
| <br>Signat              | ure                | Aux 10   |   |   |                                      |  |
| <br>Name                | & Title            | JOHN TI  | ALLMAN  | PREST CE  | 70                                   |  |
| Date                    |                    | 1/10/06  |   | ·   |                                      |  |

| Docket No. | 2826.1000-005 |  |
|------------|---------------|--|
| DOOROL 10. | 2020.1000 000 |  |

## STATEMENT UNDER 37 C.F.R. § 3.73(b)

| Invento   | r(s):        | Timothy P  | . Tully, Roderick E.M. Scot           | t and Rusiko Bourtche              | ouladze  |
|-----------|--------------|--|---------------------------------------|------------------------------------|--|
| Applica   | ition No./   | Patent No.: 10/527,950                               | 0                                     | 371(c) Date:_                      | September 30, 2005                                     |
| For:      | Screen       | ing Methods for Cognitive En                         | hancers                               |                                    |  |
|           |              |  |                                       |                                    | V  |
|           | Helicon      | Therapeutics, Inc.                                   | , a,                                  | corporation                        | rship, university, government agency, etc.)            |
|           |              | (Name of Assignee)                                   | (Type of As                           | ssignee, e.g., corporation, partie | ising, university, government agency, each             |
| states th | nat it is    |  |                                       |                                    |  |
| A.        | [X]          | the assignee of the entire right                     | ht, title and interest in the pa      | ntent application identi           | fied above; or   |
| B.        | [ ]          | an assignee together with [ above.                   | ] of the entire right,                | title and interest in the          | e patent application identified                        |
| The right | ht, title ai | nd interest of the above-named                       | l assignee in the patent appl         | ication identified abov            | e is established by virtue of:                         |
| A. [X]    |              | gnment from the inventor(s) or demark Office at Reel |                                       |                                    | gnment was recorded in the Pater<br>ereof is attached. |
| OR        |              |  |                                       |                                    |  |
| B.[]      | A chain      | of title from the inventor(s) o                      | of the patent application iden        | ntified above, to the cu           | rrent assignee as shown below:                         |
|           | 1.           | From:  | To:                                   |                                    | · · · · · · · · · · · · · · · · · · ·                  |
|           |              | The document was recorded Reel, Frame                | in the United States Patent           |                                    | at   |
|           | 2.           | From:  | To:                                   | -                                  | -  |
|           |              | The document was recorded Reel, Frame _              | in the United States Patent           | and Trademark Office               | at ·   |
|           | 3.           | From:  | To:                                   |                                    | <u> </u>   |
|           |              | The document was recorded Reel, Frame                | in the United States Patent           | and Trademark Office               | at   |
|           | [ ] Ad       | ditional documents in the cha                        | in of title are listed on a sup       | plemental sheet.                   |  |
| The und   | dersigned    | (whose title is supplied below                       | v) is authorized to act on be         | half of the assignee.              |  |
| Signatu   | ıre:         | DETT   | · · · · · · · · · · · · · · · · · · · | ·                                  |  |
| Name:_    | To           | DAN FTALL  | MAN                                   |                                    |  |
| Title:_   |              | PRES + CED   |                                       |                                    |  |
| Date:     |              | 1/10/06  |                                       |                                    |  |



**Joint** 

### **ASSIGNMENT**

WHEREAS, we, Timothy P. Tully, Roderick E. M. Scott and Rusiko
Bourtchouladze, have invented a certain improvement in SCREENING METHODS FOR
COGNITIVE ENHANCERS described in an application for Patent,

| l j | the specification of which is about to be filed in the United States Patent Office (use for utility (37 CFR $\S$ 1.53(b)) and design filings only);   |
|-----|---|
| []  | is about to be filed in the United States Patent Office as a Provisional Application  |
| []  | the specification of which is United States Application No. [ ], filed [ ];   |
| [X] | the specification of which is a Patent Cooperation Treaty Application, International Application No. PCT/US2003/025942, filed August 19, 2003, which designates the United States of America and assigned United States Application No. 10/527,950; |
| []  | which was patented under United States Patent No. [ ].  |

WHEREAS, Helicon Therapeutics, Inc. (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the State of Delaware, and having a usual place of business at One Bioscience Park Drive, Farmingdale, New York 11735 desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue on said invention; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein; I hereby expressly authorize the filing of an International Patent Application under the Patent Cooperation Treaty which corresponds to and claims the priority of the above-identified application;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of any future applications including substitution, reissue, divisional or continuation applications, and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request each Patent Office and the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said invention to said ASSIGNEE, its successors, assigns, and legal representatives.

| Inventor           | Timothy P. Tully                      | Date |
|--------------------|---------------------------------------|------|
| Address            | · · · · · · · · · · · · · · · · · · · |      |
| <del></del>        |                                       |      |
| Witness Signature  |                                       |      |
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|                    |                                       |      |
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| Print Witness Name |                                       |      |
| Address            |                                       |      |
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|           | Inventor                      | Date                                  |
|-----------|-------------------------------|---------------------------------------|
|           | Roderick E. M. Scott          | <del></del>                           |
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|           |                               |                                       |
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| Witness   | Signature                     |                                       |
|           | tness Name                    |                                       |
|           |                               |                                       |
|           |                               |                                       |
|           |                               | · · · · · · · · · · · · · · · · · · · |
| Witness   |                               |                                       |
|           |                               |                                       |
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|           | 2                             |                                       |
|           | (i) 10                        |                                       |
|           | Inventor Allongues            | Date 9/28/05                          |
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| Print Wi  | ness Name Elizabeth Kowell    |                                       |
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|           | - Soular Inch                 |                                       |
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| Print Wit | ness Name Barbara Testa       |                                       |
| Address   | 31 Woodwaye Road              |                                       |
|           | Plainview, NY 1180            | 3                                     |



<u>Joint</u>

#### **ASSIGNMENT**

WHEREAS, we, Timothy P. Tully, Roderick E. M. Scott and Rusiko
Bourtchouladze, have invented a certain improvement in SCREENING METHODS FOR
COGNITIVE ENHANCERS described in an application for Patent,

| l j | the specification of which is about to be filed in the United States Patent Office (use for utility (37 CFR § 1.53(b)) and design filings only);  |
|-----|---|
| []  | is about to be filed in the United States Patent Office as a Provisional Application;   |
| []  | the specification of which is United States Application No. [ ], filed [ ];   |
| [X] | the specification of which is a Patent Cooperation Treaty Application, International Application No. PCT/US2003/025942, filed August 19, 2003, which designates the United States of America and assigned United States Application No. 10/527,950; |
| []  | which was patented under United States Patent No. [ ].  |

WHEREAS, Helicon Therapeutics, Inc. (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the State of Delaware, and having a usual place of business at One Bioscience Park Drive, Farmingdale, New York 11735 desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America. its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue on said invention; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein; I hereby expressly authorize the filing of an International Patent Application under the Patent Cooperation Treaty which corresponds to and claims the priority of the above-identified application;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of any future applications including substitution, reissue, divisional or continuation applications, and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request each Patent Office and the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said invention to said ASSIGNEE, its successors, assigns, and legal representatives.

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